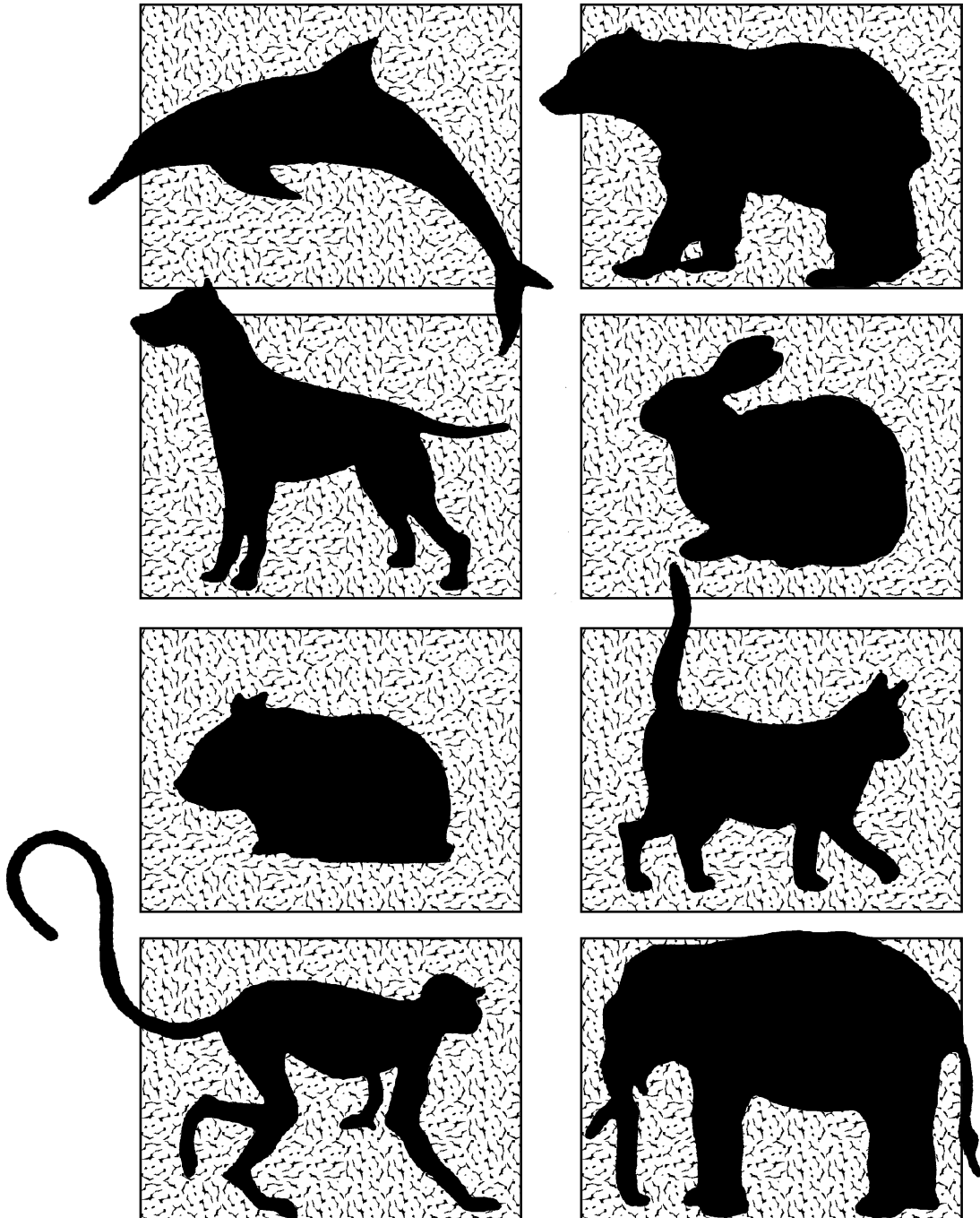


Animal Welfare Enforcement

Fiscal Year 1996

Report of the Secretary of Agriculture
to the President of the Senate and the
Speaker of the House of Representatives



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Attachments

Animal Welfare: List of Licensed Dealers
Animal Welfare: List of Registered Research Facilities
*Animal Welfare: List of Licensed Exhibitors and
 Registered Exhibitors*
*Animal Welfare: List of Registered Carriers and
 Intermediate Handlers*

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Report of 1996 Activities

Summary

Each year, the Secretary of Agriculture reports on administration and enforcement activities under the Animal Welfare Act (AWA) (7 U.S.C. 2131 et seq.) as required by Section 25 of the AWA. Section 25 states that: "[t]his report as well as any supporting documents, data, or findings shall not be released to any other persons, non-Federal agencies, or organizations unless and until it has been made public by an appropriate committee of the Senate or the House of Representatives."

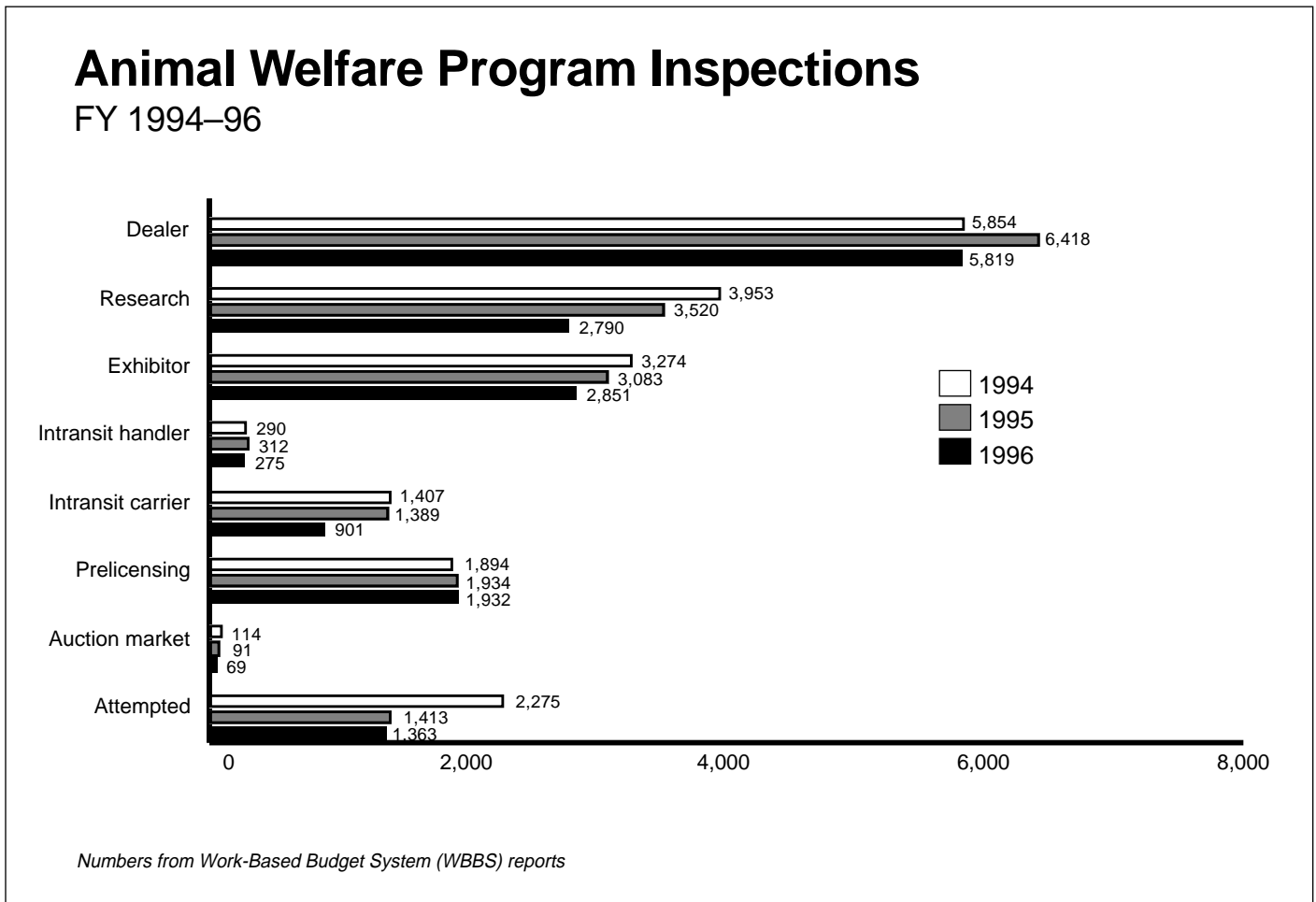
The present report covers fiscal year (FY) 1996, from October 1, 1995, through September 30, 1996.

In FY 1996, 12,635 unannounced compliance inspections and reinspections were completed by the Animal and Plant Health Inspection Service's (APHIS) Animal Care (AC) field personnel at 10,366 regulated sites. There were 1,932 precicensing and preregistration audits, 59 auction market observations, and 1,363 attempted compliance inspections. The total of all categories of inspections for FY 1996 was 15,989.

The AWA requires that APHIS perform at least one compliance inspection per year at each research facility that uses animals in experimentation. Agency policy sets the same minimum for all other regulated entities using animals. The number of field inspectors (veterinary medical officers and animal care inspectors) at the end of FY 1996 was 71.

Chart 1 shows inspections completed for all facility categories for FY 1996 and the 2 previous years.

Chart 1



Animal Welfare Accomplishments for FY 1996

	Total number of facilities and (sites) ¹	Number of inspections by category
Inspections for Compliance²		
Dealers	4,075 (4,265)	5,819
Research facilities	1,264 (2,506)	2,790
Exhibitors	2,098 (2,453)	2,851
Intransit handlers	302 (417)	275
Intransit carriers ³	98 (725)	901
<i>Total</i>	<i>7,837</i> <i>(10,366)</i>	<i>12,635</i>

Other Types of Inspections

Prelicensing and preregistration inspections ⁴	NA	1,932
Auction market inspections	NA	59
Attempted inspec- tions of dealers and exhibitors	NA	1,363
<i>Total</i>		<i>3,354</i>

Total of Inspections for Compliance and Other Inspections **15,989**

Inspections for Compliance Made During FY 1994–96

FY	Total facilities (sites)	Total compliance inspections
1996	7,837 (10,366)	12,635
1995	7,721 (10,108)	14,722
1994	7,869 (10,705)	14,778

¹ See the glossary of terms for the definition of "site" and "facility."

² Inspections for compliance are "unannounced" inspections and reinspections. These do not include prelicensing or preregistration inspections, auction market inspections, or attempted inspections. (Prelicensing/preregistration inspections are "announced." Inspections of licensed and unlicensed auction markets are made to locate unlicensed dealers. Attempted inspections could not be performed for certain reasons—usually because there was no one available at the facility when the inspector arrived unannounced.)

³ Intransit Carriers is a category representing commercial airlines. Each airline may have two or more animal transportation "sites" at each airport it serves. Due to frequent changes in airline activities and other factors, the number of sites may vary.

⁴ Prelicensing/preregistration audits include 44 preregistration inspections, which are not required. Many regulated entities request that AC inspect their facility for compliance before they begin to use animals. To ensure the highest level of compliance, AC personnel perform these requested inspections whenever possible.

Legislative History

In 1966, Congress enacted Public Law (P.L.) 89-544, known as the Laboratory Animal Welfare Act. This law regulated dealers who handle dogs and cats as well as laboratories that use dogs, cats, hamsters, guinea pigs, rabbits, and nonhuman primates in research.

The first amendment to the Laboratory Animal Welfare Act was passed in 1970 (P.L. 91-579) and changed the name of the law to the Animal Welfare Act (AWA). This amendment authorized the Secretary of Agriculture to regulate other warmblooded animals when used in research, exhibition, or the wholesale pet trade.

An amendment in 1976 (P.L. 94-279) prohibited most animal fighting ventures and regulated the commercial transportation of animals. Another amendment was added to the AWA in 1985 as the Improved Standards for Laboratory Animals Act, which was part of the Food Security Act. These amendments required the Secretary to issue additional standards for the use of animals in research.

In 1990, provisions concerning injunctive relief and pet protection were added to the AWA. These two provisions were included in the Food, Agriculture, Conservation and Trade Act of 1990. The injunctive relief provision authorizes the Secretary to seek an injunction to stop certain licensed entities from continuing to violate the AWA while charges are pending. (Injunctions are used in cases of stolen animals and where an animal's health is in serious danger or may become endangered.) The pet protection provision mandated that the Secretary issue additional regulations pertaining to random-source dogs and cats. (Random source means "dogs and cats obtained from animal pounds or shelters, auction sales, or from any person who did not breed and raise them on his or her premises.")

Regulations

With regard to animals used in research, the Improved Standards for Laboratory Animals Act required the Secretary of Agriculture to promulgate standards for the exercise of dogs and for a physical environment adequate to promote the psychological well-being of nonhuman primates. Additional requirements of the 1985 amendments included the establishment of Institutional Animal Care and Use Committees at research facilities; standards to ensure that pain and distress are minimized, and that anesthetics, analgesics, and tranquilizers are used appropriately; and standards that require a researcher to consider alternatives to painful procedures. In order to implement the Improved Standards for Laboratory Animals Act, the final regulations for parts 1 and 2 of Title 9, Code of Federal Regulations (CFR), Chapter 1, Subchapter A, were published on August 31, 1989; those for Part 3 were published on February 15, 1991.

Revised standards for guinea pigs, hamsters, and rabbits were published in final form in the *Federal Register* on July 15, 1990, and became effective on August 15, 1990. These standards increased the minimum space requirements and provided additional requirements to protect animals being transported via common carrier.

On April 5, 1990, the U.S. Department of Agriculture's (USDA) APHIS published a notice in the *Federal Register* of its intent to regulate horses used for biomedical or other nonagricultural research, and other farm animals used for biomedical or other nonagricultural research or for nonagricultural exhibition. The final rule became effective on June 4, 1990. Until specific regulations can be promulgated, the standards in Title 9, CFR, Chapter 1, Subchapter A, Part 3, Subpart F, for "other warmblooded animals" will be applied.

The Pet Protection Act, which was passed in November 1990 by Congress as part of the Food, Agriculture, Conservation and Trade Act of 1990, sets specific holding periods for animals in public or private pounds or shelters and requires certification that the holding period has been met. The regulations for this Act, proposed on November 15, 1991, were published as a final rule on July 22, 1993, and became effective August 23, 1993.

Animal Care's Strategic Direction

In FY 1994, two important legal decisions affected USDA's regulations. On May 20, 1994, the U.S. Court of Appeals for the District of Columbia Circuit reversed an earlier order by the U.S. District Court (January 8, 1992) that ordered USDA to cover rats, mice, and birds under the AWA regulations. Under the Secretary of Agriculture's discretionary authority, common rats and mice bred for laboratory use and birds are not currently regulated. The Appeals Court opinion said that the plaintiffs lacked the legal standing to sue and the statutory right to judicial review under the Administrative Procedures Act.

In another ruling, on July 22, 1994, the U.S. Court of Appeals reversed an earlier order by the U.S. District Court, dated February 25, 1993, that would have invalidated USDA's performance-based regulations concerning exercise for dogs and the psychological well-being of primates. The Appeals Court opinion said that the plaintiffs lacked the legal standing to bring suit against the Government; therefore, the Court did not have jurisdiction to rule.

A revision of portions of Title 9, CFR, Subchapter A, Part 2 pertaining to licensing and renewal was published as a final rule in FY 1995.

In April 1996, AC published a document entitled Strategic Direction for the Animal Care Program. It was initiated to evaluate the current ways AC functions and make recommendations for improvement. The recommendations cover such areas as statutory and regulatory authority, the AWA inspection system, enforcement activities, educational efforts to improve compliance, employee needs, and innovative use of resources. In crafting AC's new strategic direction, the agency's Strategic Direction Team agreed on the following objectives:

- Enhance statutory, regulatory and procedural authorities.
- Provide proactive leadership in establishing acceptable practices of animal care and treatment.
- Maximize resources for enhanced program delivery and efficiency.
- Respond to external concerns and expectations through objective action.
- Empower, support, and develop employees.

One of the recommendations of the Strategic Direction Team was to establish an Initiatives Coordinator position whose total responsibility would be to coordinate all the change activities. This position was filled in June 1996. Nine field teams were selected; by the end of FY 1996, four of these teams had held formal meetings.

The Program Results Monitoring Team developed criteria so AC can measure its accomplishments. Among these are (1) analyzing information in our Licensee Application and Registrant Information System (LARIS) data base to obtain the level of compliance of facilities on their last full inspection; (2) analyzing LARIS data to show the number of animals affected by the violations of the AWA; and (3) analyzing compliance and tracking information system data to show the timeliness of adjudication.

The Regulation, Act and Policy Team established procedures to obtain field input for statutory, regulatory, and policy change. They also finalized the new AC policies that will be published in 1997.

Appropriations for FY 1996

The FY 1996 Animal Welfare program was appropriated \$9,185,000 for activities related to animal welfare. The tabulation below indicates APHIS' animal-welfare-related appropriations for FY 1996 and the preceding 2 fiscal years.

Appropriations for Animal Welfare, FY 1994–96

FY	Annual appropriation for enforcement of the Animal Welfare Act
1996	\$9,185,000
1995	\$9,262,000
1994	\$9,262,000

Organization and Administration of the AWA

USDA is charged with developing and implementing regulations to support the AWA. These regulations, which appear in Title 9, CFR, Chapter 1, Subchapter A, Parts 1–3, provide minimum standards for the care and handling of covered animals. Included are requirements for handling, housing, feeding, sanitation, ventilation, shelter from extreme weather, veterinary care, and separation of species when necessary. Birds and laboratory rats and mice are not currently included in the regulations.

Within USDA, APHIS is responsible for administering the AWA. The AC unit of APHIS, created in 1988, has direct responsibility to administer and enforce the AWA and the Horse Protection Act.

By maintaining a separate component for animal care, APHIS has provided a means for the AC program to benefit from its visibility and unique position. AC employees are highly qualified and have an excellent professional support system and communication network. All of these individuals are well trained, and many have specialized interest and expertise in such areas as the care of laboratory animals, zoo animals, and marine mammals.

Investigative and Enforcement Services¹ (IES) personnel provide investigatory services across all APHIS programs with the unified goal of enhancing compliance with agency regulations.

APHIS/AC and IES Headquarters Activities

The Assistant Deputy Administrator for AC supervises the field inspection force. The AC staff provides technical support and assists in developing program direction, goals, priorities, policies, procedures, and regulations to carry out the AC program effectively and efficiently. The AC staff serves as a primary source of the agency's expertise in the areas of laboratory animals and research facilities, horse protection, exhibition animals, transportation of regulated animals, and animal dealers.

In cooperation with APHIS' Organizational and Professional Development group, the AC staff provides program training for AC personnel. The staff also cooperates with other Federal agencies in enforcing the AWA and in maintaining liaison and working relations with regulated professional groups, industry organizations, humane groups, the scientific community, and other concerned associations or individuals.

¹At the beginning of FY 1997, APHIS' Regulatory Enforcement and Animal Care unit was reorganized. AC and Regulatory Enforcement staffs are no longer in the same administrative unit. AC is a unit by itself, and Regulatory Enforcement, now known as Investigative and Enforcement Services, is part of another unit.

The IES staff, the investigative arm of APHIS, ensures compliance with APHIS regulations concerning plants and animals. Compliance with APHIS' regulations is accomplished through strong educational efforts, sound enforcement, and comprehensive investigations.

IES works closely with USDA's Office of the General Counsel and other Federal agencies, State and local governments, and industry groups. IES' primary clients within APHIS are AC, Center for Veterinary Biologics, Plant Protection and Quarantine, and Veterinary Services.

APHIS/AC and IES Field Activities

Through the end of FY 1996, the AC program was administered through regional offices in Annapolis, MD, Tampa, FL, Sacramento, CA, and Fort Worth, TX. Each regional office is responsible for administering the AWA in the specific States within its jurisdiction. Based in each office is a regional director who manages the AC program. Licensing, registration, and investigation of complaints and alleged violations are accomplished by administrative, technical, and clerical employees also based at the regional offices. The AC field force consists of veterinary medical officers and animal care inspectors. It should be noted that, due to the Federal Government's reorganization initiative, AC eventually plans to merge these four regional offices into two.

IES is administered through regional offices in Annapolis and Fort Worth. Based in each regional office is a regional director who manages the IES program. IES field personnel investigate alleged compliance violations across all APHIS' line program areas.

Animal Welfare Information Center

The Animal Welfare Information Center (AWIC) is part of the National Agricultural Library (NAL) at Beltsville, MD. The Center was established in December 1986, as mandated by the 1985 Improved Standards for Laboratory Animals Act. AWIC is specifically directed to provide information concerning (1) methods of humane animal care and use, (2) alternatives to the use of live animals in research, (3) methods to minimize pain and distress to animals, (4) possible duplication of research involving animals, (5) materials for the training of personnel, and (6) other topics that support the administration and regulatory requirements of the AWA.

In FY 1996, AWIC staff responded to about 16,645 requests for reference services and specific publications, including copies of the AWIC Newsletter. About 12,000 Internet users accessed AWIC materials at the Center's web site address at <http://www.nal.usda.gov/awic>. More than 37,000 publications, including a 5-volume set of electronic documents, were distributed. The quarterly AWIC Newsletter continues to be sent to about 6,000 requestors in the United States and 38 foreign countries.

In FY 1996, 258 individuals attended an AWIC workshop entitled "Meeting the Information Requirements of the Animal Welfare Act," which was held at the NAL and at other locations throughout the country. Presentations about AWIC and the Animal Welfare program were given to just under 1,300 people at various universities, conferences, and professional meetings.

Also in FY 1996, an Italian public television show filmed AWIC staff performing a data-base search for alternatives to animal use. The program aired on a special segment devoted to alternatives in testing and research.

AWIC participated with APHIS AC staff in planning and organizing a symposium to mark the 30th anniversary of the AWA. About 200 people attended. AWIC will publish the proceedings of the meeting.

AWIC staff also coordinated the development of a computer CD ROM disk that contains many official documents related to animal welfare (such as the AWA itself and the National Institutes of Health's Guide for the Care and Use of Laboratory Animals). This project was funded by APHIS' AC, the U.S. Department of Health and Human Services' Public Health Service and National Institutes of Health, and NAL. This CD ROM can be purchased for \$35 by contacting the U.S. Government Printing Office.

Training

In FY 1996, there were 2 separate weeks of specialized regulatory training and planning sessions for all regional supervisory animal care specialists and the headquarters AC staff. The AC regions also conducted several 2- to 3-day onsite sessions with groups of field personnel participating throughout the year until the entire field force was reached, as well as conducting informational teleconferences on a regular basis. Headquarters staff participated in many of these regulatory training functions.

Also in FY 1996, three AC personnel received training through the annual Research Preceptor Program and two in the Exhibitor Internship program. These programs could not have been possible without cooperation and help from industry groups, as described under the heading of "Other Activities" later in this report.

Licensing and Registration

The AWA regulations require the licensing of animal dealers, exhibitors, and operators of animal auction sales where animals regulated under the AWA are sold. Licenses are valid unless the licensee terminates the license voluntarily or fails to renew it, or an administrative law judge suspends or revokes the license in an enforcement proceeding. The Department terminates licenses that are not renewed within the time requirements set forth in the regulations. Following the investigation of an alleged violation, a license may be revoked or suspended by an administrative law judge after notice and opportunity for a hearing. Licensing fees for dealers and exhibitors are determined by a graduated schedule listed in the regulations [9 CFR 2.6(5)(c)]. Dealers pay between \$30 and \$750, and exhibitors pay between \$30 and \$300 per year. These fees are deposited as “miscellaneous receipts” in the U.S. Treasury.

The AWA also requires all carriers, intermediate handlers, exhibitors not subject to licensing, and non-Federal research facilities to register with the Secretary of Agriculture. There is no charge to register.

Research Facilities

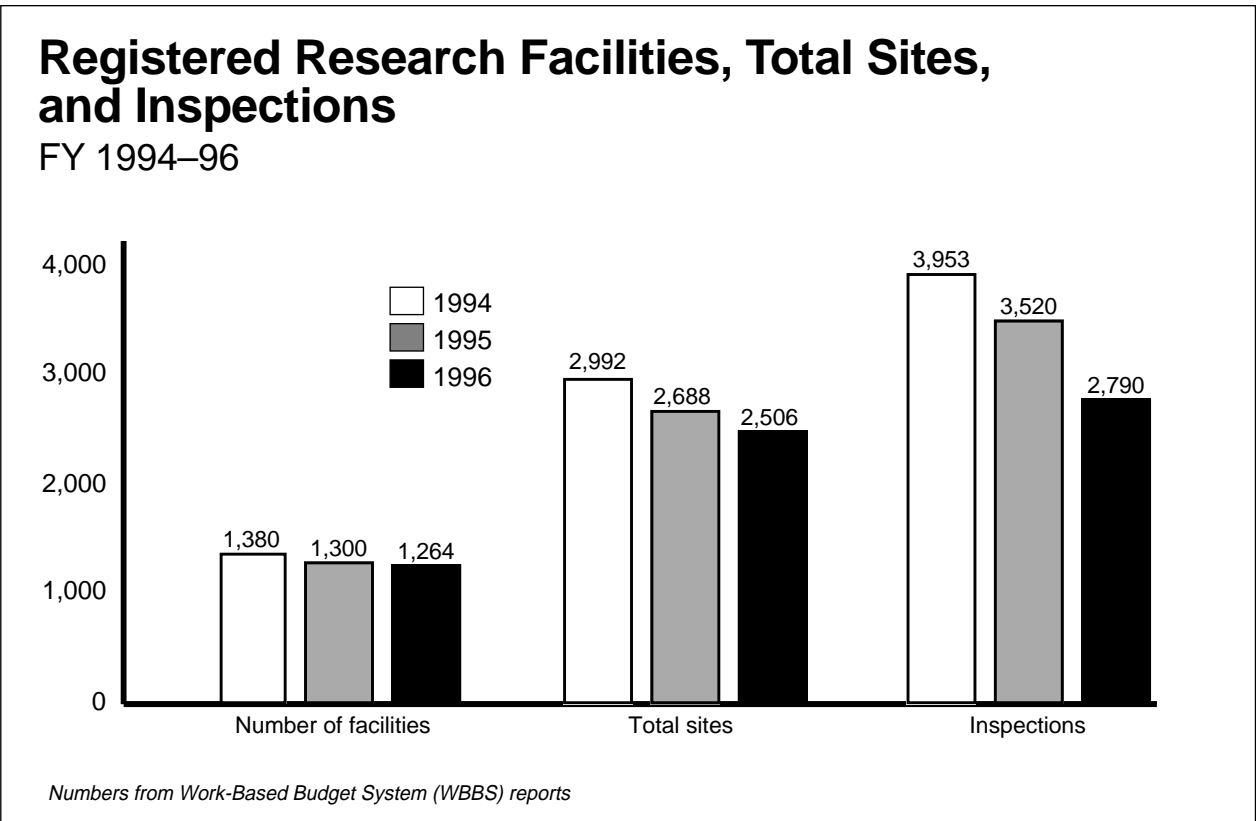
Research facilities that use animals include hospitals, colleges and universities, diagnostic laboratories, and many private firms in the pharmaceutical and biotechnology industries.

All research facilities are required to comply with the AWA’s regulations. Even though Federal facilities are not registered or inspected under the AWA, they are responsible for maintaining compliance with the AWA’s regulations and standards. The AWA requires that non-Federal research facilities receive at least one unannounced inspection per year to determine compliance. Listed below are the number of research facilities and sites for FY 1994 through 1996. In FY 1996, there were 1,264 research facilities with a total of 2,506 sites. Chart 2 shows the number of inspections of research facilities for FY 1994 through 1996.

Registered Research Facilities and Sites, FY 1994–96

FY	Total facilities	Total sites
1996	1,264	2,506
1995	1,200	2,688
1994	1,380	2,992

Chart 2



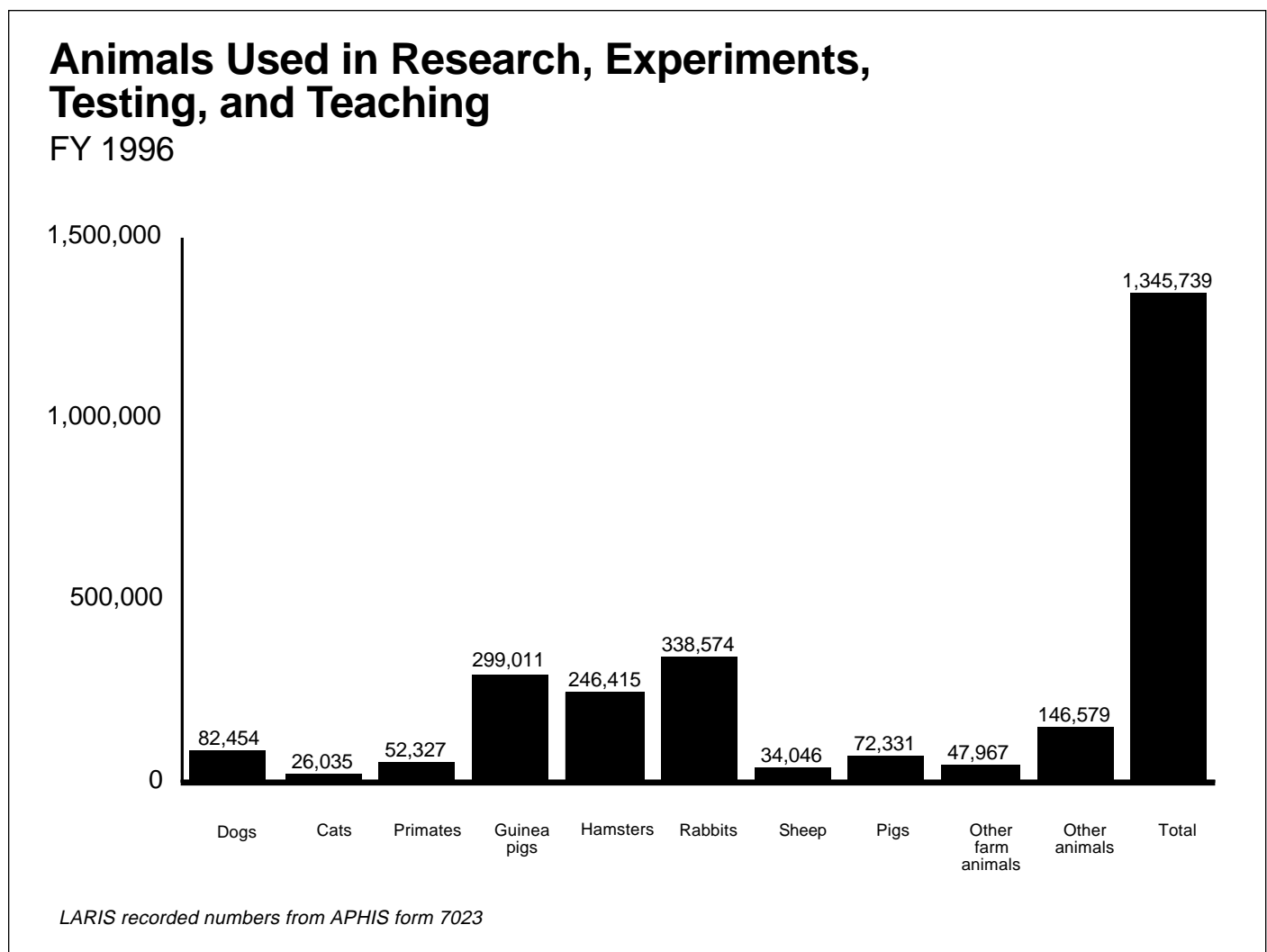
Reports From Research Facilities

Each research facility registered under the AWA and each Federal research facility is required to submit an annual report, signed and certified by the Institutional Official, covering the previous fiscal year. The report lists the number and species of animals used in research, testing, and experimentation, and indicates whether pain- or distress-relieving drugs were administered. If such drugs were not administered, the report must explain why their use would have interfered with the research or experiment. The report must also assure that professionally acceptable standards, including the appropriate use of pain- or distress-relieving drugs, were

followed; that each principal investigator considered alternatives to painful or distress-causing procedures; and that the facility adhered to the regulations under the AWA and that any exception to such adherence was justified by the principal investigator and approved by the Institutional Animal Care and Use Committee.

In FY 1996, 1,345,739 warmblooded animals were used in research, testing, or experimentation by USDA-registered and Federal research facilities. This number excludes birds, laboratory rats and mice, and farm animals used exclusively in agricultural research. Chart 3

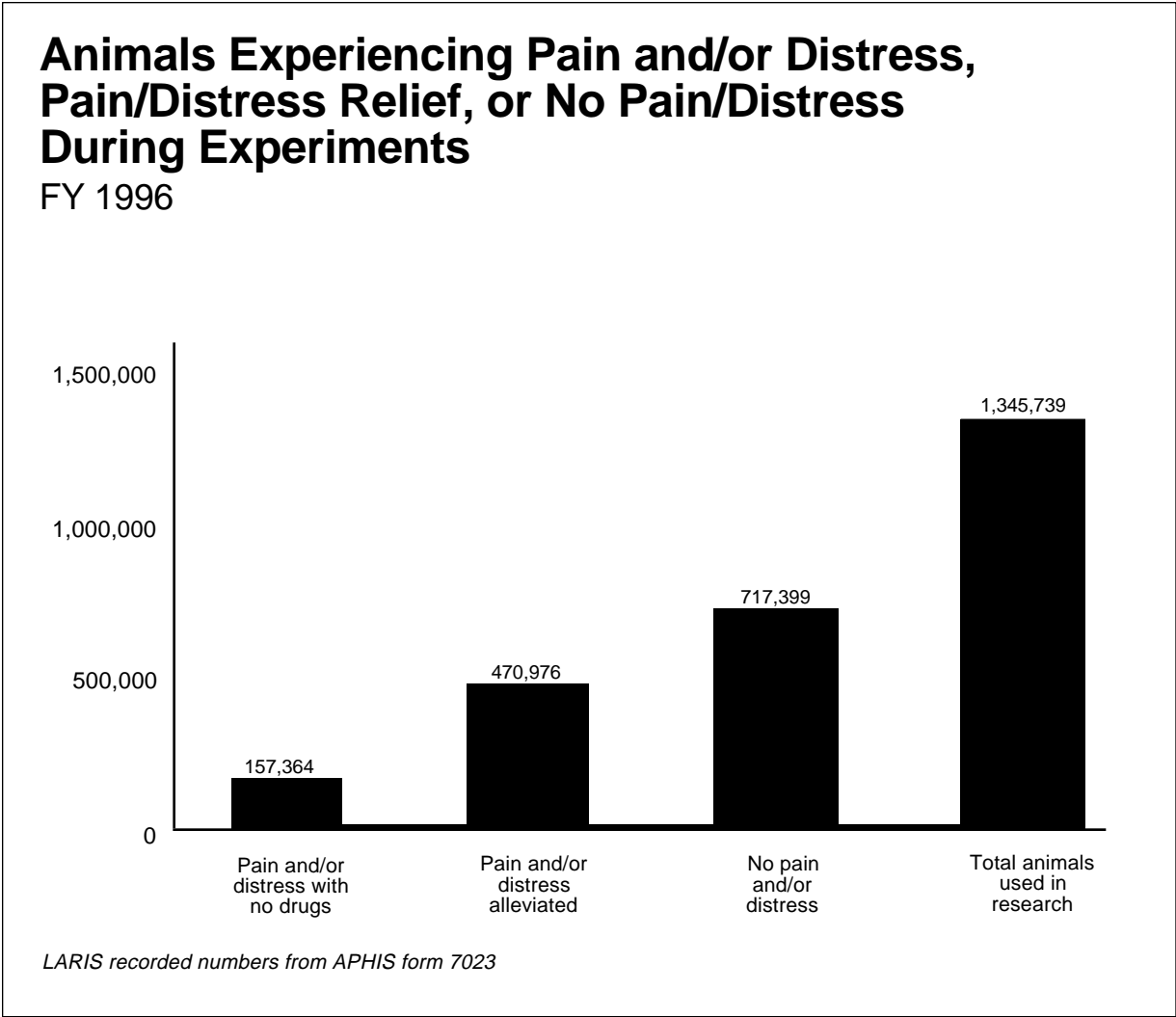
Chart 3



shows the number and species of animals used in research for FY 1996. Chart 4 shows the number of animals used in research that involved no pain or distress, or that involved pain or distress alleviated with drugs, or that involved pain or distress without relief because use of pain- or distress-relieving drugs would interfere with the results of the research or testing. Tables 1 through 5 of the appendix contain further details. Table 6 reports the total of animals used by research since the first published report in 1973.

In FY 1996, there were 35 research facilities (16 non-Federal and 19 Federal) whose data are not included in this report because they either did not submit a report or submitted it too late for tabulation. It is a violation of the AWA for a facility, whether active or inactive, not to submit a timely report. AC initiated the appropriate corrective actions.

Chart 4



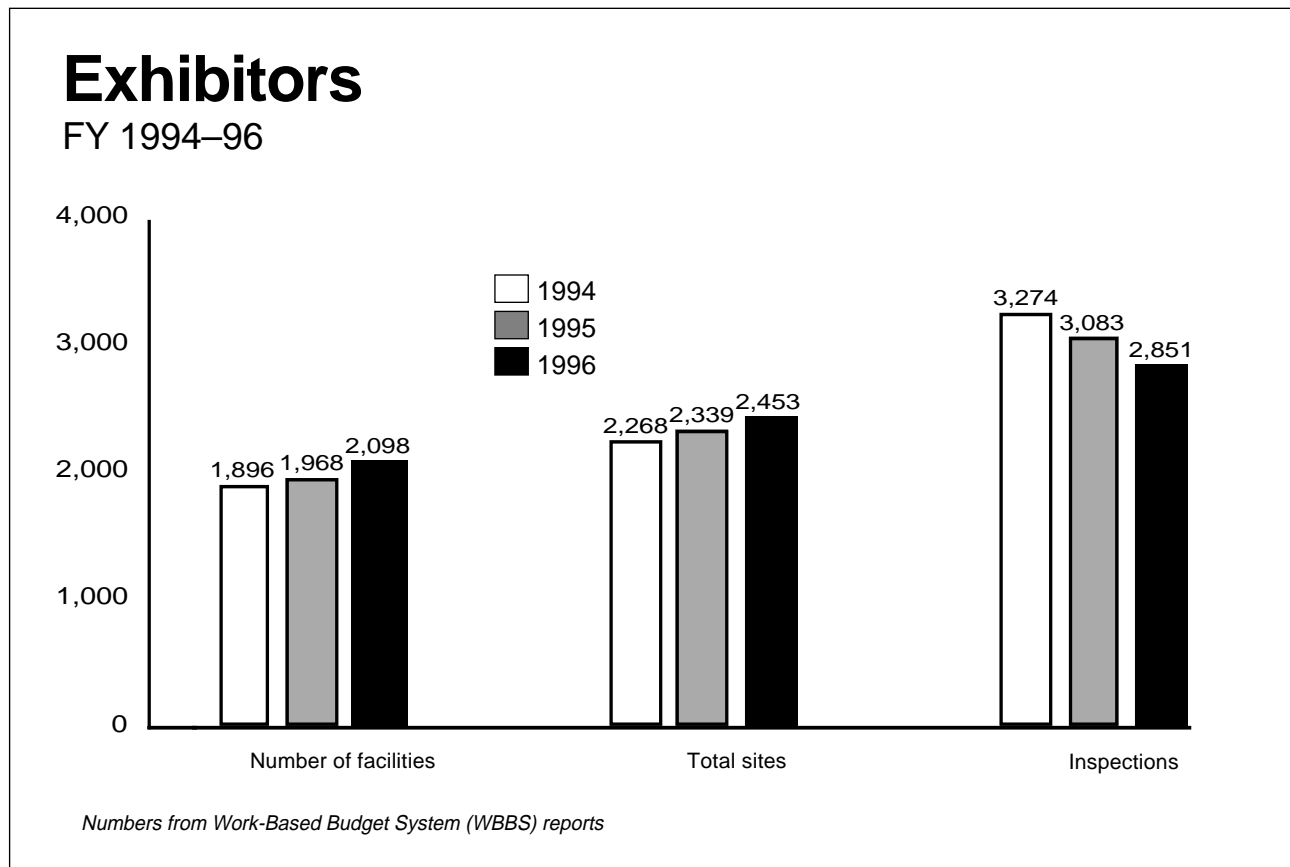
Animal Exhibitors

Licensed exhibitors operate animal acts, carnivals, circuses, public zoos, "roadside zoos," and marine mammal displays. Most of the animals exhibited are species not native to the United States (e.g., nonhuman primates, hoof stock, carnivores, and wild rodents), but exhibited species may also include domestic farm animals and wild animals native to this country. During FY 1996, there were 2,073 licensed exhibitors (with a total of 2,422 sites) and 25 registered exhibitors (with a total of 31 sites). Licensed exhibitors are those entities that either obtain or dispose of animals in commerce or exhibit them for compensation. Registered exhibitors do not buy, sell, or transport animals and do not accept compensation. Listed below are the number of exhibitors and sites regulated during FY 1994 through 1996. Chart 5 shows the number of inspections for that same period.

Regulated Exhibitors, FY 1994–96

FY	Exhibitors		
	Total exhibitors (sites)	Licensed (sites)	Registered (sites)
1996	2,098 (2,453)	2,073 (2,422)	25 (31)
1995	1,968 (2,339)	1,937 (2,304)	31 (35)
1994	1,896 (2,268)	1,861 (1,861)	35 (NA)

Chart 5



Carriers and Intermediate Handlers

Carriers registered with USDA include airlines, motor freight lines, railroads, and other shipping businesses. Registered intermediate handlers means ground freight handlers. Intermediate handlers usually provide services for animals between consignor and carrier and from carrier to consignee. They also care for animals delayed in transit. In FY 1996, there were 98 carriers (with a total of 725 sites) and 302 intermediate handlers (with a total of 417 sites).

The numbers of sites and registered carriers and intermediate handlers for FY 1994 through 1996 are listed in the next tabulation. The number of carrier and intermediate handler inspections for FY 1994 through 1996 is shown on chart 6.

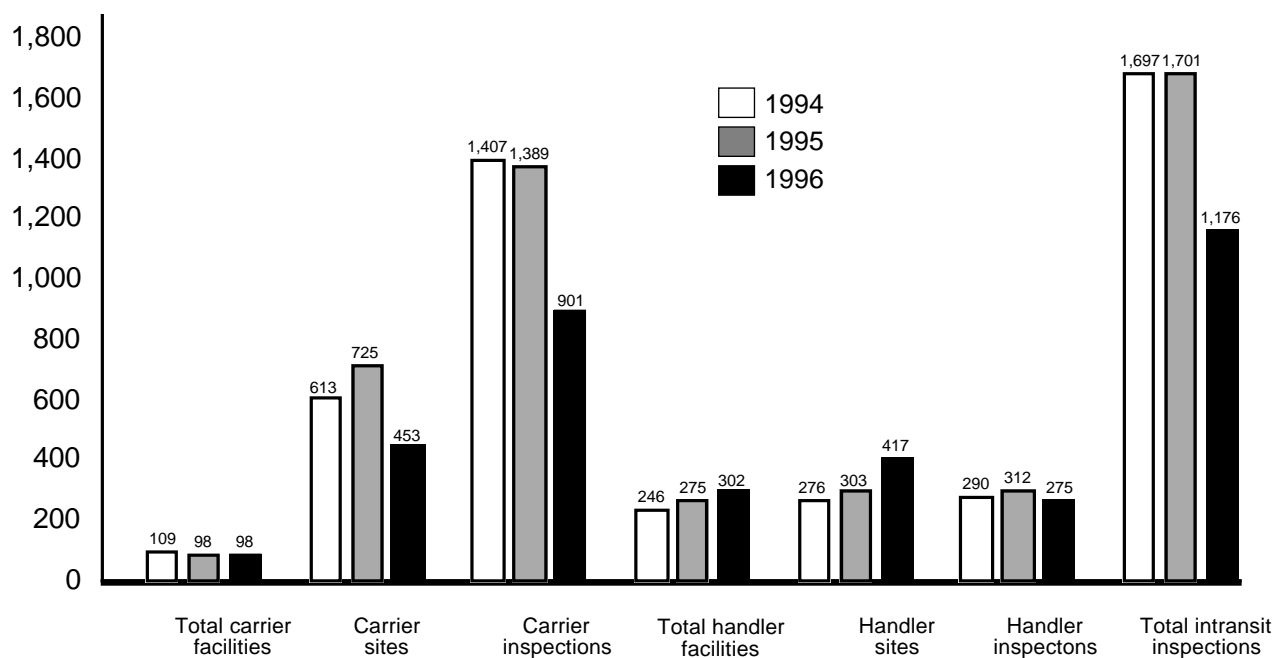
Sites and Registered Carriers and Intermediate Handlers, FY 1994–96

FY	Registered carrier (sites)	Intermediate handlers (sites)
1996	98 (725)	302 (417)
1995	98 (453)	275 (303)
1994	109 (613)	246 (276)

Chart 6

Carriers and Intermediate Handlers

FY 1994–96



Numbers from Work-Based Budget System (WBBS) reports

Licensed Dealers

Dealers—defined as persons selling regulated animals for research or teaching; wild or exotic animals in retail channels for exhibition, or for pets; or domestic pet animals at the *wholesale level*—must be licensed by APHIS/AC. There are two classes of dealer licensees. The Class A licensees are breeders dealing only in animals that they breed and raise. The Class B licensees include brokers, operators of auction sales, and “bunchers.” In FY 1996, there were 2,976 licensed A dealers (with a total of 3,043 sites) and 1,099 licensed B dealers (with a total of 1,222 sites). Of the 1,099 Class B dealers, APHIS estimates that there are fewer than 40 supplying animals to research.

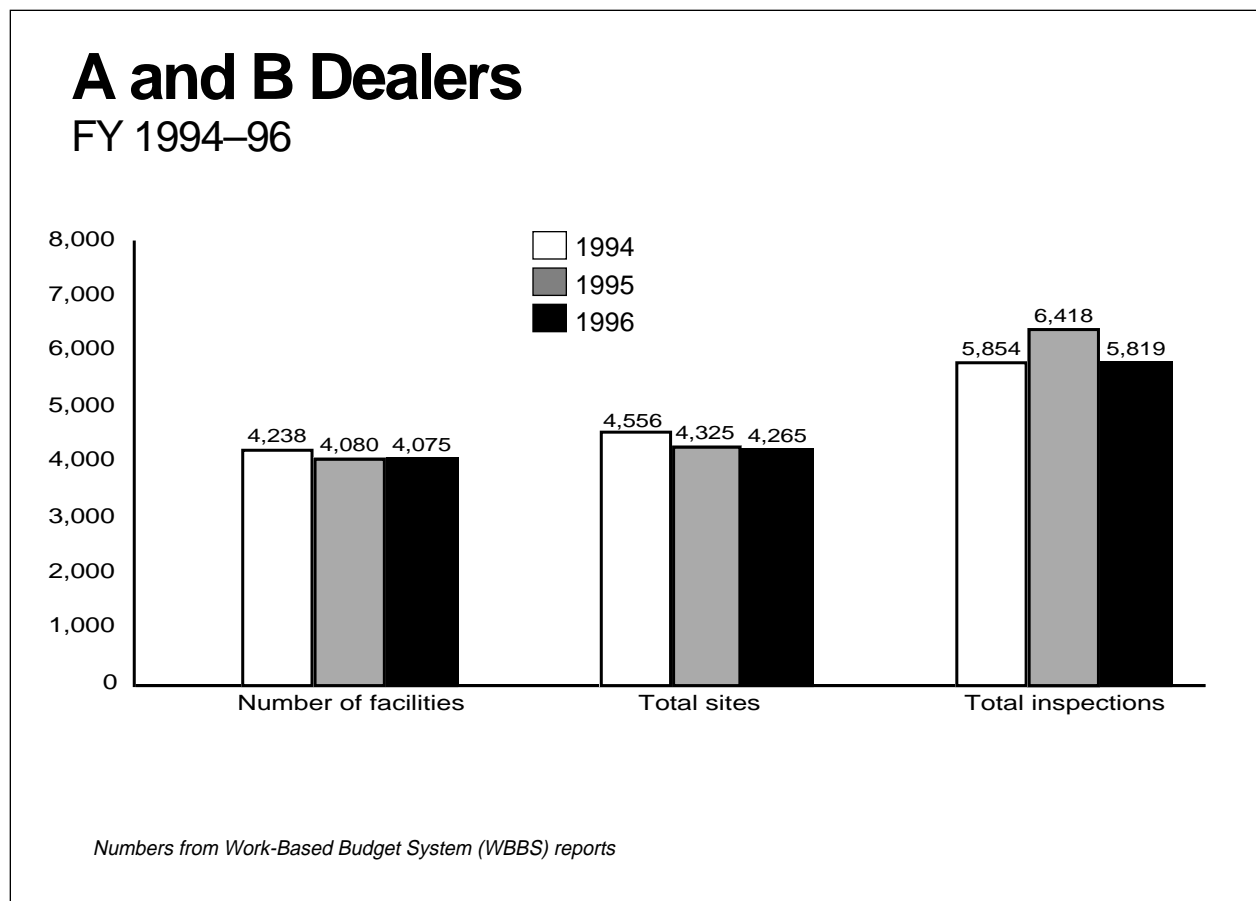
The numbers of Class A and B licensed dealers and sites for FY 1994 through 1996 are listed in the next tabulation.

The number of compliance inspections for dealers during the same period is shown on chart 7.

Licensed Dealers, FY 1994–96

FY	Total dealers (sites)	Class A dealers (sites)	Class B dealers (sites)
1996	4,075 (4,265)	2,976 (3,043)	1,099 (1,222)
1995	4,080 (4,325)	2,967 (3,056)	1,113 (1,269)
1994	4,238 (4,556)	NA (3,230)	NA (1,326)

Chart 7



Summary of Inspections

APHIS/AC personnel perform preclicensing inspections because license applicants are required by law to be in full compliance with regulations and standards before a license is issued. After a license has been issued, APHIS performs unannounced inspections and reinspections to ensure continued compliance with the AWA. Reinspections are follow up inspections conducted on those facilities that were found to have one or more violations.

In FY 1996, APHIS' AC personnel conducted 12,635 unannounced inspections for compliance, 1,932 preclicensing/preregistration audits, 59 auction market observations, and 1,363 attempted inspections. There were also 1,420 searches for unlicensed or unregistered sites, 3 holding facility inspections, 58 handler or carrier registrations, and 508 inspections due to public complaints. Furthermore, AC personnel handled various legal matters including 304 alleged violator investigations, 379 case submissions, 86 prosecution-related support activities, and 479 requests acted on to supply legal documentation such as photos and affidavits.

Prelicensing/Preregistration Inspections

Before a license is granted to dealer or exhibitor applicants, a preclicensing inspection must be performed to determine that a facility is in compliance with the AWA.

For registration purposes, a preregistration inspection is not required, but many facilities request AC consultation. Whenever possible, AC honors these requests to promote the highest level of compliance.

Prelicensing/Preregistration Inspections, FY 1994–96

FY	Total	Prelicensing inspections of		Preregistration inspections of research facilities
		Dealers	Exhibitors	
1996	1,932	1,355	533	44
1995	1,934	1,369	529	36
1994	1,894	1,361	491	42

Inspections for Compliance

APHIS/AC routinely makes unannounced inspections of all licensees and registrants to ascertain that they are in compliance with the regulations. If conditions are discovered that are not in compliance with the regulations, AC establishes a deadline for correction of these items. Inspectors are required to make a reinspection following the deadline date for correction. If the conditions remain uncorrected, AC documents them for possible legal action. Listed in the next tabulation are the total number of unannounced compliance inspections (including reinspections) for dealers, exhibitors, research facilities, carriers, and intermediate handlers for FY 1996 and the 2 previous years.

Inspections for Compliance, FY 1994–96

FY	Unannounced inspections for compliance
1996	12,635
1995	14,722
1994	14,778

Complaints and Searches

AC personnel routinely conduct searches for unlicensed or unregistered persons and also investigate public complaints to determine (1) that regulated animals are receiving proper care and/or (2) if the animal owner(s) fall under the jurisdiction of the AWA and should be licensed or registered. The number of complaints investigated and searches for unlicensed or unregistered facilities during FY 1996 and the 2 previous years are tabulated next.

Complaints Investigated and Searches Made, FY 1994–96

FY	Complaints	Searches
1996	508	1,420
1995	566	1,728
1994	642	2,354

Violations and Investigations

APHIS' IES personnel investigate alleged violations when licensees or registrants fail to take the corrective actions necessary to remain in compliance with the AWA.

Investigations disclosing violations are acted on in a variety of ways depending on their severity in regard to endangering the health or well-being of covered animals. Most infractions may be settled with an official notice of warning or a stipulation offer. (Stipulations allow alleged violators to pay a fine, have their license suspended, or both, in lieu of formal administrative proceedings.) Cases warranting formal prosecution undergo USDA-level review for legal sufficiency prior to the issuance of a formal administrative complaint. Formal cases may be resolved by license suspensions, revocations, cease-and-desist orders, civil penalties, or combinations of these penalties through administrative procedures.

In the tabulation below, it should be noted that the numbers under "Cases Submitted," "Cases Resolved," and "Sanctions Imposed" are those actions that actually occurred during the fiscal year even though many of the settled cases were submitted in previous years. This numerical disparity occurs because it takes a case considerable time to work its way through the legal system and appeals process.

Numbers of Investigations Conducted and Disposition, FY 1994–96

Cases Investigated and Reviewed

FY	Cases	Submitted to IES staff	Submitted for formal prosecution
1996	370	126	78
1995	425	150	79
1994	719	147	91

Cases Resolved

FY	Official warnings	Stipulations offered/settled	Administrative law judges' decisions
1996	182	85/45	84
1995	263	131/85	35
1994	389	108/78	44

Sanctions Imposed

FY	Fines imposed by administrative law judges	Fines imposed by stipulation	Revocations, suspensions, and disqualifications
1996	\$1,002,250	\$48,340	29
1995	\$ 401,750	\$49,975	19
1994	\$ 296,000	\$49,900	23

Liaison With Other Federal Agencies

APHIS/AC has a representative on the Interagency Research Animal Committee, whose members come from Federal agencies involved in the care and use of animals in biomedical research. This committee is responsible for interagency coordination of animal care-and-use concerns and for making contributions to policy development and acts as a forum for information exchange and regulation development.

AC works closely with the Animal Welfare Information Center (AWIC), a unit of the National Agricultural Library. In FY 1996, AC staff personnel presented two training sessions on "Information Requirements of the Animal Welfare Act." AC staff worked closely with AWIC to develop a CD ROM called "CARE" which contains many official documents concerning the regulation of animal welfare. This project was partially funded by APHIS.

FY 1996 was the 30th anniversary of the passing of the AWA. AWIC and AC jointly planned and implemented a well-attended symposium.

APHIS/AC also maintains close working relationships with other Federal agencies that deal with animals regarding regulation and enforcement of the AWA. APHIS cooperated with the U.S. Department of Health and Human Services' National Institutes of Health and Food and Drug Administration, the Department of Defense, the Department of Veterans Affairs, the Marine Mammal Commission, the U.S. Department of Commerce's National Marine Fisheries Service, the U.S. Department of the Interior's U.S. Fish and Wildlife Service, the Environmental Protection Agency, and USDA's Food Safety and Inspection Service.

Staff Activities

The Marine Mammal Negotiated Rulemaking Committee, composed of representatives from 11 major stakeholder groups, APHIS, an independent consultant, and 3 nonvoting observers (employees of other Federal agencies), in conjunction with a hired facilitator, met twice during FY 1996. The committee reached consensus language on 12 of 18 sections (plus 1 paragraph of the 13th section) of Part 3, Subpart E of 9 CFR, Chapter 1, Subchapter A. The consensus language will be published in the Federal Register as a proposed regulation.

APHIS and the American Zoo and Aquarium Association cosponsored a zoo animal internship program. During FY 1996, two AC field inspectors (one veterinary medical officer and one animal care inspector) trained at six different zoological institutions (three each).

APHIS and the research community cosponsored a research internship program that sent three AC veterinarians to 6 intensive weeks of training at various research facilities and teaching institutions.

AC headquarters personnel coordinated monthly liaison committee meetings with representatives of the National Marine Fisheries Service, the U.S. Fish and Wildlife Service, and the Marine Mammal Commission.

AC staff officers attended and participated in national meetings held by various organizations, including the International Association of Aquatic Animal Medicine, the Society of Marine Mammalogy, the Association of Aquatic Life Support System Operators, the North American Veterinary Conference, the American Association of Laboratory Animal Science, and the Public Responsibility in Medicine and Research.

Headquarters employees worked with the Center for Alternative Animal Testing and Procter and Gamble on an important data-base project concerning alternatives to the use of animals in research.

Public Information

APHIS' AC personnel actively participate with organizations concerned about the humane care of animals. AC maintains an active role with such organizations as the American Zoo and Aquarium Association, the National Association for Biological Research, Americans for Medical Progress, the American Association of Zoo Veterinarians, the Alliance for Marine Mammal Parks and Aquariums, the American Association for Accreditation of Laboratory Animal Care, the Scientist's Center for Animal Welfare, the Humane Society of the United States, the Animal Welfare Institute, the American Humane Association, the Animal Protection Institute, the Association of American Medical Colleges, and the Air Transport Association. AC is also represented in the U.S. Animal Health Association and has members on both its animal welfare and zoological committees. AC personnel are often invited by Federal agencies and nongovernmental organizations to give presentations concerning animal welfare.

A joint project between USDA, the Federal Aviation Administration (FAA), and the carrier industry, begun in 1992, was completed in FY 1996. The purpose of this project is to measure environmental conditions in airplane cargo areas used for the transportation of animals. The report from this project will be published after necessary clearances through the FAA.

During the past year, AC personnel in the four regional offices attended and/or conducted at least 447 meetings with industry, animal welfare groups, and officials from other government agencies.

In FY 1996, AC regional personnel published two papers in the "Synapse," a newsletter of the American Society of Laboratory Animal Practitioners. The purpose of these publications was to inform the research industry of AC's regulations, standards, policies, and program activities. AC also helps Lab Animal Magazine publish informational material about the AWA and its enforcement.

APHIS issued 81 press releases concerning animal welfare during FY 1996. In 72 of these releases, there was information concerning 53 actions taken (such as settlements, fines, suspensions, and confiscations) and 38 charges of violations. The other nine releases concerned matters such as announcements of public forums on commercial dog and cat breeders and on marine mammal negotiated rulemaking. AC personnel also gave numerous local and national television, radio, and newspaper interviews on various issues relating to the AWA.

Informational material published during FY 1996 included last year's version of this report, the Strategic Plan for AC, List of Licensed Dealers, List of Licensed Exhibitors, List of Registered Exhibitors, List of Registered Research Facilities, List of Registered Carriers and Intermediate Handlers, a factsheet explaining the mission of AC, and a brochure on the AC customer service plan.

Also, in FY 1996, AC made its debut in cyberspace with its own page on the World Wide Web. This site (located at <http://www.aphis.usda.gov/ac>) not only contains information concerning AC's mission but also includes a "Missing Animal Page" that is popular with the media and the public. Most of AC's publications are also found on this web site.

Public Correspondence

During FY 1996, APHIS received and responded to thousands of inquiries about animal welfare from individual citizens, concerned groups, the Office of the President, and Members of Congress. Other Federal agencies also refer animal welfare concerns to APHIS for appropriate responses. Listed in the next tabulation are the numbers of animal welfare inquiries received by APHIS during FY 1994 through 1996.

Animal Welfare Correspondence Received by APHIS, FY 1994-96

FY	Correspondence received/dispatched by headquarters	Correspondence received/dispatched by sector offices
1996	6,155	37,736
1995	5,853	28,162
1994	6,594	7,403

Legislative and Regulatory Recommendations

Freedom of Information Act (FOIA) Requests

In FY 1996, APHIS received 403 FOIA requests related to animal welfare. The following tabulation lists the numbers of such requests received for the past 3 fiscal years.

Animal-Welfare-Related FOIA Requests Received by APHIS, FY 1994–96

FY	FOIA requests
1996	403
1995	507
1994	486

There were no legislative recommendations or proposals issued by AC in FY 1996. Several regulatory proposals and changes were initiated during FY 1996:

- The negotiated rulemaking process to revise Title 9 CFR, Chapter 1, Subchapter A, Part 3, Subpart E (Marine Mammal Captive Care and Maintenance) was completed.
- Further progress was made on the “Swim-with-the-Dolphins” regulations.
- A docket changing Title 9 CFR, Chapter 1, Subchapter A, Part 3, Subpart F to add perimeter fence requirements for exhibitors and exotic animal dealers entered the clearance channels.
- A recommendation to change Title 9 CFR, Chapter 1, Subchapter A, Part 3, Subpart F to add requirements for handling and training of dangerous animals was initiated at the staff level.
- A recommendation from staff was made to alter Title 9 CFR, Chapter 1, Subchapter A, Part 3, Subpart F to add minimum age requirements for transportation of exotic or wild animals.
- A recommendation from staff was made to expand space requirements of Title 9 CFR, Chapter 1, Subchapter A, Part 3, Subpart F, especially those of traveling exhibitors.
- There were several proposals related to animal dealers and exhibitors which would modify the standards in Title 9 CFR, Chapter 1, Subchapter A, Part 3, Subpart A.

Glossary of Terms

Airport inspection—Individual airline inspections of cargo and baggage areas made at airports for compliance with the AWA regulations and standards.

Alleged violation—A violation of the AWA regulations or standards that has been documented as existing but has not been legally concluded.

Carrier—The operator of any airline, railroad, motor carrier, shipping line, or other enterprise that is engaged in the business of transporting any animals for hire.

Commerce—Trade, traffic, or transportation that is between a place in a State and any place outside of such State (including foreign countries), or between points within the same State but through any place outside of the State.

Complaints—(1) A civil or administrative complaint informs the alleged violator of the AWA about allegations charged against him/her. (2) A public complaint is information received from citizens, humane groups, or others concerning possible violations of the AWA, regulations, or standards at animal facilities.

Compliance—The status of a facility that meets all of the regulatory requirements set forth in the AWA regulations and standards.

Dealer—Any person who, in commerce, for compensation or profit, delivers for transportation, or transports (except as a carrier), buys, or sells, or negotiates the purchase or sale of (1) any dog or other animal whether alive or dead (including unborn animals, organs, limbs, blood, serum, or other parts) for research, teaching, testing, experimentation, exhibition, or for use as a pet; or (2) any dog for hunting, security, or breeding purposes. The term dealer does not include a retail pet store unless such store sells any animals to a research facility, an exhibitor, or to a dealer (wholesale); or any person who does not sell, or negotiate the purchase or sale, of any wild or exotic animal, dog, or cat and who derives no more than \$500 gross income from the sale of animals, dogs, or cats, during any calendar year.

Enforcement—The activities undertaken by USDA and APHIS/AC and IES personnel to ensure that the AWA's regulations and standards are met. Enforcement includes developing alleged violation cases and taking action in the form of Letters of Warning, warning tickets, stipulations, administrative complaints, hearings, trials, and other legal procedures and methods to obtain compliance.

Exhibitor—Any person (public or private) exhibiting any animals which were purchased in commerce or the intended distribution of which affects commerce, or will affect commerce, to the public for compensation. Exhibitors include carnivals, circuses, animal acts, zoos, and educational exhibits, whether exhibiting for profit or not. The term exhibitor excludes most retail pet stores, horse and dog races, organizations sponsoring, and all persons participating in State and county fairs, livestock shows, rodeos, field trials, coursing events, purebred dog and cat shows, and any other fairs or exhibitions intended to advance agricultural arts and sciences.

Facility—A facility is the holder of the license or registration. Each facility may have only one license or registration number but may be physically divided into two or more sites.

Inspections—

- *Attempted inspection*—An inspection that could not be completed, including those where representatives of the inspected entities were not onsite or transportation facilities were found to have no animals present.
- *Compliance inspection*—An unannounced inspection completed, after licensing or registration, to determine the facility's compliance with the AWA regulations and standards. Compliance inspections include reinspections.
- *Prelicensing or Preregistration inspection*—An announced inspection made, after application for licensure or registration has been submitted, to ascertain compliance with the AWA regulations and standards prior to licensing or registering the facility. Prelicensing inspections are required. Preregistration inspections, although not required, are often performed upon request of the facility.
- *Reinspection*—An inspection made following a compliance inspection in which one or more violations were documented.

Intermediate handler—Any person who is engaged in any business receiving custody of animals in connection with their transportation in commerce. This definition excludes dealers, research facilities, exhibitors, operators of auction sales, and carriers.

Investigation—Inquiries and examination of allegation(s) that a person or facility is not complying with the AWA or its regulations or standards.

License classes—There are three categories of licensees, Class A, Class B, and Class C.

- A *Class A licensee* is anyone meeting the definition of “dealer” whose business consists only of animals that are bred and raised on the premises in a closed or stable colony and those animals acquired for the sole purpose of maintaining or enhancing the breeding colony.
- A *Class B licensee* is anyone meeting the definition of a “dealer” whose business includes the purchase and/or resale of any animal. Class B licensees include brokers and operators of auction sales, as such individuals negotiate or arrange for the purchase, sale, or transport of animals in commerce.
- A *Class C licensee* is anyone meeting the definition of an “exhibitor” whose business involves the showing or displaying of animals to the public.

Random source dogs and cats—Animals acquired from animal pounds and shelters, auction sales, or from any person who did not breed and raise the animals on his or her premises.

Registrant—Any research facility, carrier, intermediate handler, or exhibitor whose primary business is not required to be licensed by the AWA. If a registered facility conducts an activity that requires a license, then it will also be licensed for that activity. For example, some research facilities have a dealer license in addition to their registration because they occasionally sell surplus animals to other research facilities.

Research facility—Any school (other than elementary or secondary), institution, organization, or person that uses or intends to use live animals in research, tests, or experiments, and that; (1) purchases or transports live animals in commerce or, (2) receives funds under a grant, award, loan, or contract from a department, agency, or instrumentality of the United States for the purpose of carrying out research, tests, or experiments.

- An *active registered research facility* is a USDA-registered research facility that currently utilizes animals covered by the AWA for teaching, testing, or experimentation.
- An *inactive registered research facility* is a USDA-registered research facility that *currently* does not utilize animals covered by the AWA for teaching, testing, or experimentation.

Retail pet store—Any outlet where only the following animals are sold or offered for sale, at retail, for use as pets: dogs, cats, rabbits, guinea pigs, hamsters, gerbils, rats, mice, gophers, chinchillas, domestic ferrets, domestic farm animals, birds, coldblooded species, and other common small pets. Retail pet stores do not include any establishment or persons who (1) deal in dogs used for hunting, security, or breeding purposes; (2) exhibit, sell, or offer to exhibit or sell, any wild or exotic or other nonpet species of warmblooded animals (except birds) such as skunks, raccoons, nonhuman primates, squirrels, ocelots, foxes, coyotes, etc.; (3) sell warmblooded animals (except birds and laboratory rats and mice) for research or exhibition purposes; (4) wholesale any animals (except birds and laboratory rats and mice); or (5) exhibit pet animals in a room that is separate from or adjacent to the retail pet store, or in an outside area, or anywhere off the retail pet store premises.

Search—Activity associated with finding unlicensed or unregistered entities.

Site—The physical location where animals are used, housed, or maintained by a licensed or registered facility. A licensed or registered facility may have one or more animal sites. A site may be a room, building, outdoor run area, or similar type of facility used to hold or work on animals.

Stipulation—An agreement by a violator to accept assessment of a civil penalty, license suspension, or combination of both. The stipulation procedure is used instead of formal administrative hearings. Alleged violators are offered the opportunity to waive a hearing by agreeing to enter into a stipulation, in which case they will pay a specified civil penalty and/or have their license suspended for a specified period.

Violation—An area or item, at a registered or licensed facility, found to be out of compliance with the regulations or standards of the AWA.

Table 1. Number of Licensees and Registrants, With the Number of Sites (FY 1996)

	Registered intermediate handlers		Registered carriers		Licensed Class A dealers		Licensed Class B dealers		Licensed exhibitors		Registered exhibitors		Active research facilities		Inactive research facilities	
	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites
Total United States	302	417	98	725	2,976	3,043	1,099	1,222	2,073	2,422	25	31	1,264	2,506	38	48
Alabama	2	10	0	0	6	7	13	14	26	30	0	0	14	45	0	0
Alaska	1	1	4	20	0	0	0	0	12	12	0	0	3	6	0	0
Arizona	13	13	2	3	4	4	7	8	35	51	0	0	9	21	0	0
Arkansas	2	2	0	0	139	138	22	25	23	29	0	0	9	18	0	0
California	29	37	9	32	24	25	21	23	212	287	2	5	167	285	15	20
Colorado	7	7	2	7	11	11	6	7	29	39	0	0	24	43	2	2
Connecticut	8	24	1	1	0	0	3	3	33	34	0	0	21	30	1	1
Delaware	0	0	0	0	0	0	2	2	3	3	0	0	8	12	0	0
Dist. of Columbia	0	0	0	0	0	0	0	0	0	0	0	0	6	11	0	0
Florida	25	51	8	20	31	33	61	69	237	276	1	1	19	53	3	4
Georgia	20	21	2	70	19	20	16	18	39	42	2	2	19	55	0	0
Guam	1	2	0	0	0	0	0	0	1	2	0	0	0	0	0	0
Hawaii	23	23	5	21	0	0	1	1	15	16	0	0	2	7	0	0
Idaho	0	0	0	0	5	5	1	1	11	12	0	0	2	6	2	2
Illinois	7	9	3	37	49	47	38	40	125	133	2	2	41	64	0	0
Indiana	4	5	2	13	32	34	45	47	61	62	0	0	21	50	0	0
Iowa	0	0	1	9	296	303	69	76	29	31	0	0	17	58	0	0
Kansas	0	0	1	7	382	382	58	65	28	29	0	0	19	30	0	0
Kentucky	5	7	0	0	6	8	12	13	14	15	1	1	9	27	1	1
Louisiana	1	1	0	0	12	13	9	9	17	19	0	0	12	39	0	0
Maine	1	2	0	0	1	1	5	7	9	9	0	0	11	13	0	0
Maryland	7	7	0	0	1	1	6	8	14	16	0	0	42	62	1	1
Massachusetts	5	15	1	1	7	10	7	10	36	42	1	1	88	145	0	0
Michigan	3	3	1	1	17	17	39	47	64	65	5	6	36	113	0	0
Minnesota	1	1	2	92	71	77	38	37	43	45	2	2	29	59	0	0
Mississippi	0	0	0	0	6	6	4	6	10	12	0	0	6	16	0	0
Missouri	6	7	3	29	944	947	122	138	41	56	0	0	37	80	0	0

Table 1. Number of Licensees and Registrants, With the Number of Sites (FY 1996), continued

	Registered intermediate handlers		Registered carriers		Licensed Class A dealers		Licensed Class B dealers		Licensed exhibitors		Registered exhibitors		Active research facilities		Inactive research facilities	
	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites	Facilities	Sites
Montana	0	0	1	2	9	9	0	0	19	19	0	0	5	10	2	2
Nebraska	2	2	1	18	146	147	19	18	11	11	0	0	13	24	0	0
Nevada	4	5	1	5	2	2	6	6	52	71	0	0	2	5	0	0
New Hampshire	2	2	1	1	1	1	0	1	17	17	0	0	3	5	0	0
New Jersey	6	6	2	6	9	11	18	20	37	43	0	0	47	73	0	0
New Mexico	5	5	4	10	1	0	3	2	13	25	0	0	10	27	0	0
New York	21	30	7	16	18	19	35	37	106	122	0	0	108	156	1	2
North Carolina	6	7	2	3	9	10	22	26	31	34	1	1	25	84	1	2
North Dakota	1	2	0	0	25	26	5	7	10	13	1	1	3	3	0	0
Ohio	7	7	1	7	25	27	42	48	64	77	4	5	47	101	1	3
Oklahoma	2	8	0	0	324	325	58	60	19	20	0	0	18	30	0	0
Oregon	3	3	1	4	31	31	34	41	28	30	0	0	9	20	3	3
Pennsylvania	15	22	1	1	95	104	52	56	84	90	0	0	85	135	0	0
Puerto Rico	1	1	5	10	3	3	2	2	6	7	0	0	11	16	0	0
Rhode Island	1	1	0	0	1	1	1	1	8	9	0	0	7	14	0	0
South Carolina	2	2	0	0	8	12	5	5	14	15	0	0	7	20	0	0
South Dakota	0	0	0	0	72	72	17	17	20	23	1	1	4	8	0	0
Tennessee	5	4	1	7	10	10	10	10	25	27	0	0	18	36	2	2
Texas	22	27	9	156	94	102	108	128	168	208	0	0	82	160	0	0
Utah	3	3	2	10	2	2	0	0	11	12	0	0	9	33	0	0
Vermont	2	2	0	0	1	1	2	2	4	4	0	0	2	5	0	0
Virgin Islands	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Virginia	10	18	3	55	1	2	10	13	41	50	1	1	14	28	0	0
Washington	6	7	6	22	9	9	10	11	27	32	0	0	28	57	3	3
West Virginia	1	1	0	0	2	2	13	12	12	12	0	0	5	8	0	0
Wisconsin	4	4	3	29	14	25	22	25	78	83	1	2	29	92	0	0
Wyoming	0	0	0	0	1	1	0	0	1	1	0	0	2	8	0	0

Table 2. Animals Used in Research (FY 1996)

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Pigs	Sheep	Other farm animals	Other animals
Total United States	1,473	1,345,739	82,454	26,035	52,327	299,011	246,415	338,574	34,046	72,331	47,967	146,579
Total Research	1,302	1,230,755	79,897	24,944	47,674	285,452	230,406	325,689	18,206	62,874	28,931	126,682
Federal Agencies	171	114,984	2,557	1,091	4,653	13,559	16,009	12,885	15,840	9,457	19,036	19,897
Alabama	14	9,116	2,379	492	650	1,135	512	2,107	122	867	523	329
Alaska	3	267	14	4	0	0	0	0	0	0	0	249
Arizona	9	4,270	540	74	132	859	562	1,397	15	617	58	16
Arkansas	9	1,898	195	79	113	250	257	693	27	149	19	116
California	182	187,016	4,132	3,513	2,894	34,508	31,254	79,643	4,738	5,738	3,867	16,729
Colorado	26	9,939	1,239	518	68	2,056	781	1,758	574	163	134	2,648
Connecticut	22	11,216	1,087	78	331	1,688	1,553	3,841	416	1,027	326	869
Delaware	8	20,263	1,454	96	18	3,457	10,765	4,367	0	73	12	21
Dist. of Columbia	6	5,086	295	219	295	1,175	1,507	698	61	618	19	199
Florida	22	9,265	855	582	239	2,381	233	2,756	392	951	263	613
Georgia	19	36,358	2,349	1,080	3,006	1,776	8,447	7,629	106	2,098	906	8,961
Guam	0	0	0	0	0	0	0	0	0	0	0	0
Hawaii	2	669	0	1	6	380	21	95	0	141	15	10
Idaho	4	4,152	21	0	0	24	0	79	3,631	0	0	397
Illinois	41	47,705	3,511	1,077	730	12,425	7,139	13,842	497	4,019	795	3,670
Indiana	21	16,596	3,544	384	225	2,458	1,730	4,858	216	2,009	631	541
Iowa	17	81,654	2,273	1,691	31	6,204	31,807	6,225	446	4,037	3,044	25,896
Kansas	19	39,120	2,202	1,017	91	6,535	23,045	2,874	63	702	924	1,667
Kentucky	10	4,816	421	259	104	547	448	1,804	29	308	65	831
Louisiana	12	16,314	1,205	125	9,123	1,023	216	2,306	0	744	180	1,392
Maine	11	765	0	3	0	22	12	355	0	95	268	10
Maryland	43	56,118	1,833	813	4,616	13,891	10,488	12,858	759	2,516	431	7,913
Massachusetts	88	65,922	1,304	302	4,340	19,620	16,658	13,052	1,284	3,147	1,749	4,466
Michigan	36	34,721	3,836	1,474	771	8,020	1,986	9,057	516	605	307	8,149
Minnesota	29	39,320	3,262	611	92	7,662	17,632	5,803	665	2,553	584	456

Table 2. Animals Used in Research (FY 1996), continued

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Pigs	Sheep	Other farm animals	Other animals
Mississippi	6	1,825	575	84	91	12	235	330	20	387	71	20
Missouri	37	39,649	3,417	1,995	88	7,658	10,443	7,195	853	2,435	964	4,601
Montana	7	4,695	3	43	20	215	0	2,028	51	0	0	2,335
Nebraska	13	76,421	1,083	405	71	2,409	27,073	3,167	12,052	12,193	16,852	1,116
Nevada	2	3,092	165	0	1,024	742	0	98	325	93	0	645
New Hampshire	3	1,130	0	27	0	99	52	283	7	339	3	320
New Jersey	47	83,367	5,538	668	3,086	32,960	7,394	27,060	102	2,562	50	3,947
New Mexico	10	1,361	133	0	563	35	33	34	93	75	0	395
New York	109	53,270	4,969	1,577	1,918	16,011	6,386	11,138	891	2,340	276	7,764
North Carolina	26	34,093	2,447	618	1,786	9,552	1,669	10,365	303	2,755	2,702	1,896
North Dakota	3	7,580	27	43	0	0	93	14	150	119	328	6,806
Ohio	48	6,0584	5,541	605	774	24,823	1,728	15,682	90	5,374	261	5,706
Oklahoma	18	4,904	1,134	211	82	570	114	665	23	86	138	1,881
Oregon	12	5,035	180	81	1,018	1,330	403	993	62	141	0	827
Pennsylvania	85	101,408	6,113	1,939	2,128	42,777	4,214	36,122	980	2,047	1,267	3,821
Puerto Rico	11	2,356	58	0	1,596	82	129	371	0	0	0	120
Rhode Island	7	2,119	20	101	39	160	82	235	377	180	359	566
South Carolina	7	3,064	200	304	177	372	160	731	0	356	37	727
South Dakota	4	1,363	49	25	2	91	173	394	46	149	281	153
Tennessee	20	12,019	1,271	228	257	1,909	1,470	3,917	164	1,635	331	837
Texas	82	60,264	3,890	1,191	3,909	8,147	6,118	20,944	1,097	2,603	6,605	5,760
Utah	9	5,128	452	108	10	1,760	734	1,501	181	115	27	240
Vermont	2	931	48	10	0	391	93	343	0	46	0	0
Virgin Islands	0	0	0	0	0	0	0	0	0	0	0	0
Virginia	14	16,307	2,568	319	1,365	1,146	2,069	6,271	75	843	57	1,594
Washington	31	22,555	998	333	1,292	8,027	1,957	2,972	290	295	82	6,309
West Virginia	5	1,804	52	128	0	1,115	12	246	80	43	0	128
Wisconsin	29	36,613	3,554	482	3,156	8,514	6,520	7,374	1,155	1,939	2,133	1,786
Wyoming	2	236	18	18	0	8	8	4	22	4	23	131

Table 3. Animals Used in Research, No Pain or Distress—No Drugs Needed for Relief (FY 1996)

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Pigs	Sheep	Other farm animals	Other animals
Total United States	1,473	717,399	36,964	12,704	28,581	181,132	111,498	190,910	22,643	29,762	39,027	64,178
Total Research	1,302	652,154	36,851	12,464	26,561	174,574	102,324	187,865	7,725	23,922	23,795	56,073
Federal Agencies	171	65,245	113	240	2,020	6,558	9,174	3,045	14,918	5,840	15,232	8,105
Alabama	14	3,520	908	182	32	862	501	317	35	37	470	176
Alaska	3	147	0	4	0	0	0	0	0	0	0	143
Arizona	9	1,859	119	12	80	537	229	632	0	212	22	16
Arkansas	9	1,069	160	42	101	7	232	413	9	0	19	86
California	182	109,366	1,168	1,715	1,209	25,063	11,764	50,759	2,878	1,997	2,993	9,820
Colorado	26	4,882	1,029	363	0	663	443	691	59	35	61	1,538
Connecticut	22	1,954	176	4	81	277	244	167	303	88	288	326
Delaware	8	13,121	990	96	11	1,151	8,454	2,407	0	0	12	0
Dist. of Columbia	6	1,101	13	0	146	464	196	277	5	0	00	
Florida	22	4,940	162	226	152	1,768	176	1,544	261	72	165	414
Georgia	19	11,116	1,302	611	862	1,218	3,039	966	26	694	816	1,582
Guam	0	0	0	0	0	0	0	0	0	0	0	0
Hawaii	2	16	0	1	0	5	0	0	0	0	0	10
Idaho	4	3,376	0	0	0	0	0	31	3,104	0	0	241
Illinois	41	33,270	1,601	589	394	9,305	4,064	10,486	290	2,810	713	3,018
Indiana	21	11,157	1,870	107	208	1,339	1,213	3,939	31	1,562	494	394
Iowa	17	19,086	710	1,037	0	3,034	6,189	2,694	80	2,374	2,861	107
Kansas	19	15,432	1,882	823	0	678	9,437	376	26	572	842	796
Kentucky	10	1,301	132	67	5	135	189	509	27	165	19	53
Louisiana	12	10,607	298	20	7,618	286	54	257	0	602	134	1,338
Maine	11	670	0	3	0	22	12	355	0	0	268	10
Maryland	43	25,624	158	111	1,951	5,832	7,462	5,904	212	565	243	3,186
Massachusetts	88	38,278	257	13	1,292	16,180	10,711	6,171	250	464	1,569	1,365
Michigan	36	19,692	1,974	567	429	4,560	513	5,073	107	92	150	6,227
Minnesota	29	9,717	1,010	389	35	2,887	1,892	2,686	20	283	427	88

Table 3. Animals Used in Research, No Pain or Distress—No Drugs Needed for Relief (FY 1996), continued

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Pigs	Sheep	Other farm animals	Other animals
Mississippi	6	1,425	209	84	79	12	235	326	12	381	71	16
Missouri	37	18,452	1,951	1,691	16	3,769	2,714	3,577	660	1,164	823	2,087
Montana	7	2,442	0	43	20	124	0	1,243	0	0	0	1,012
Nebraska	13	63,243	697	144	50	2,153	18,260	1,942	11,990	11,427	16,298	282
Nevada	2	2,713	157	0	970	675	0	98	78	90	0	645
New Hampshire	3	486	0	13	0	10	4	148	0	0	3	308
New Jersey	47	55,881	3,110	58	2,313	20,438	6,569	20,121	55	396	26	2,795
New Mexico	10	655	81	0	425	6	33	3	0	0	0	107
New York	109	23,282	2,039	853	851	7,657	3,135	5,256	50	95	116	3,230
North Carolina	26	15,893	584	304	994	6,189	216	6,154	91	388	326	647
North Dakota	3	4,940	21	25	0	0	93	14	0	0	328	4,459
Ohio	48	35,121	2,629	372	439	20,368	343	10,057	35	324	83	471
Oklahoma	18	1,458	260	42	27	386	100	89	9	1	26	518
Oregon	12	1,208	10	10	143	19	219	13	0	0	0	794
Pennsylvania	85	62,221	3,950	1,154	789	26,235	2,609	24,409	262	558	1,015	1,240
Puerto Rico	11	1,064	4	0	646	82	129	131	0	0	0	72
Rhode Island	7	652	2	3	0	2	58	83	37	0	66	401
South Carolina	7	484	0	110	0	0	10	133	0	0	0	231
South Dakota	4	448	40	25	0	15	27	18	24	12	250	37
Tennessee	20	3,807	69	33	81	399	1,191	1,155	10	221	327	321
Texas	82	34,780	1,396	437	2,394	6,689	1,748	10,871	562	413	4,785	5,485
Utah	9	3,261	113	18	0	1,561	634	781	4	17	8	125
Vermont	2	509	5	7	0	391	45	61	0	0	0	0
Virgin Islands	0	0	0	0	0	0	0	0	0	0	0	0
Virginia	14	5,645	1,484	28	608	295	440	1,878	35	209	31	637
Washington	31	9,319	334	166	909	484	601	769	79	36	18	5,923
West Virginia	5	344	0	2	0	298	12	22	0	0	0	10
Wisconsin	29	26,178	1,900	90	2,221	6,588	5,051	4,900	908	1,406	1,844	1,270
Wyoming	2	187	0	10	0	8	8	4	19	0	17	121

Table 4. Animals Used in Research, With Pain or Distress—Drugs Used for Relief (FY 1996)

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Pigs	Sheep	Other farm animals	Other animals
Total United States	1,473	470,976	43,958	12,778	23,243	70,535	68,156	137,290	11,256	41,689	8,572	53,499
Total Research	1,302	427,932	41,714	11,950	20,671	66,470	63,120	127,775	10,334	38,493	4,829	42,576
Federal Agencies	171	43,044	2,244	828	2,572	4,065	5,036	9,515	922	3,196	3,743	10,923
Alabama	14	5,415	1,319	310	589	273	11	1,790	87	830	53	153
Alaska	3	120	14	0	0	0	0	0	0	0	0	106
Arizona	9	2,411	421	62	52	322	333	765	15	405	36	0
Arkansas	9	829	35	37	12	243	25	280	18	149	0	30
California	182	71,692	2,769	1,798	1,672	4,478	19,490	28,214	1,856	3,736	874	6,805
Colorado	26	3,309	210	155	44	463	338	979	504	128	73	415
Connecticut	22	8,421	889	74	174	1,411	1,215	3,025	113	939	38	543
Delaware	8	5,254	461	0	7	2,306	480	1,906	0	73	0	21
Dist. of Columbia	6	3,493	282	219	149	406	1,147	398	56	618	19	199
Florida	22	4,286	693	356	65	613	57	1,195	131	879	98	199
Georgia	19	20,199	1,016	342	2,143	518	4,428	3,001	80	1,357	77	7,237
Guam	0	0	0	0	0	0	0	0	0	0	0	0
Hawaii	2	653	0	0	6	375	21	95	0	141	15	0
Idaho	4	764	21	0	0	24	0	36	527	0	0	156
Illinois	41	12,888	1,806	471	327	2,502	2,546	3,152	207	1,193	82	602
Indiana	21	5,155	1,674	277	16	1,045	517	825	185	447	137	32
Iowa	17	10,522	1,212	421	31	2,793	377	3,531	366	1,376	140	275
Kansas	19	7,949	314	194	91	3,516	1,112	1,673	37	62	82	868
Kentucky	10	3,515	289	192	99	412	259	1,295	2	143	46	778
Louisiana	12	5,707	907	105	1,505	737	162	2,049	0	142	46	54
Maine	11	95	0	0	0	0	0	0	0	95	0	0
Maryland	43	26,866	1,509	702	2,636	5,405	2,770	6,647	547	1,951	188	4,511
Massachusetts	88	25,621	1,047	289	3,046	3,085	4,531	6,846	1,034	2,532	158	3,053
Michigan	36	14,055	1,852	903	325	2,921	1,298	3,855	409	510	60	1,922
Minnesota	29	18,246	2,097	109	57	4,698	5,031	2,814	645	2,270	157	368

Table 4. Animals Used in Research, With Pain or Distress—Drugs Used for Relief (FY 1996), *continued*

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Pigs	Sheep	Other farm animals	Other animals
Mississippi	6	388	366	0	0	0	0	4	8	6	0	4
Missouri	37	14,978	1,427	304	72	2,136	3,329	3,603	193	1,259	141	2,514
Montana	7	2,216	3	0	0	54	0	785	51	0	0	1,323
Nebraska	13	5,016	386	261	21	250	669	1,213	62	766	554	834
Nevada	2	379	8	0	54	67	0	0	247	3	0	0
New Hampshire	3	541	0	14	0	89	48	38	7	333	0	12
New Jersey	47	23,774	2,417	610	729	9,898	799	5,932	47	2,166	24	1,152
New Mexico	10	685	52	0	129	17	0	31	93	75	0	288
New York	109	25,759	2,793	724	1,048	5,673	3,251	5,880	841	2,128	142	3,279
North Carolina	26	15,491	1,845	286	792	1,246	1,453	3,981	209	2,229	2,201	1,249
North Dakota	3	2,328	6	18	0	0	0	0	150	119	0	2,035
Ohio	48	22,470	2,904	233	335	2,257	1,345	5,183	55	5,050	178	4,930
Oklahoma	18	3,446	874	169	55	184	14	576	14	85	112	1,363
Oregon	12	3,827	170	71	875	1,311	184	980	62	141	0	33
Pennsylvania	85	24,549	2,097	754	1,260	2,425	1,603	11,499	589	1,489	252	2,581
Puerto Rico	11	1,052	54	0	950	0	0	0	0	0	0	48
Rhode Island	7	1,467	18	98	39	158	24	152	340	180	293	165
South Carolina	7	2,580	200	194	177	372	150	598	0	356	37	496
South Dakota	4	889	9	0	2	76	146	376	22	137	31	90
Tennessee	20	8,183	1,191	195	176	1,510	279	2,762	154	1,396	4	516
Texas	82	24,365	2,447	754	1,435	1,227	4,112	9,582	535	2,178	1,820	275
Utah	9	1,867	339	90	10	199	100	720	177	98	19	115
Vermont	2	422	43	3	0	0	48	282	0	46	0	0
Virgin Islands	0	0	0	0	0	0	0	0	0	0	0	0
Virginia	14	10,575	1,084	291	720	851	1,629	4,343	40	634	26	957
Washington	31	5,980	664	167	383	287	1,356	2,203	211	259	64	386
West Virginia	5	1,460	52	126	0	817	0	224	80	43	0	118
Wisconsin	29	8,776	1,654	3,92	935	885	1,469	1,972	247	533	289	400
Wyoming	2	48	18	8	0	0	0	0	3	4	6	9

Appendix

Table 5. Animals Used in Research, With Pain or Distress—No Drugs Used for Relief (FY 1996)

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Rabbits	Pigs	Sheep	Other farm animals	Other animals
Total United States	1,473	157,364	1,532	553	503	47,344	10,374	147	880	368	28,902
Total Research	1,302	150,669	1,332	530	442	44,408	10,049	147	459	307	28,033
Federal Agencies	171	6,695	200	23	61	2,936	1,799	0	421	61	869
Alabama	14	181	152	0	29	0	0	0	0	0	0
Alaska	3	0	0	0	0	0	0	0	0	0	0
Arizona	9	0	0	0	0	0	0	0	0	0	0
Arkansas	9	0	0	0	0	0	0	0	0	0	0
California	182	5,958	195	0	13	4,967	0	4	5	0	104
Colorado	26	1,748	0	0	24	930	0	11	0	0	695
Connecticut	22	841	22	0	76	0	94	0	0	0	0
Delaware	8	1,888	3	0	0	0	1,831	0	0	0	0
Dist. of Columbia	6	492	0	0	0	305	164	0	0	0	0
Florida	22	39	0	0	22	0	17	0	0	0	0
Georgia	19	5,043	31	127	1	40	980	0	47	13	142
Guam	0	0	0	0	0	0	0	0	0	0	0
Hawaii	2	0	0	0	0	0	0	0	0	0	0
Idaho	4	12	0	0	0	0	12	0	0	0	0
Illinois	41	1,547	104	17	9	618	529	0	16	0	50
Indiana	21	284	0	0	1	74	0	0	0	0	115
Iowa	17	52,046	351	233	0	377	25,241	0	287	43	25,514
Kansas	19	15,739	6	0	0	2,341	12,496	0	68	0	3
Kentucky	10	0	0	0	0	0	0	0	0	0	0
Louisiana	12	0	0	0	0	0	0	0	0	0	0
Maine	11	0	0	0	0	0	0	0	0	0	0
Maryland	43	3,628	166	0	29	2,654	256	0	0	0	216
Massachusetts	88	2,023	0	0	2	349	1416	0	151	22	48
Michigan	36	974	10	4	17	539	175	0	3	97	0
Minnesota	29	11,357	155	113	0	77	10,709	0	0	0	0

Table 6. Number of Animals Used by Research From the First Reporting Year (1973) to the Present

FY	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Farm animals	Other covered animals ¹	Totals
1973	195,157	66,195	42,298	408,970	454,986	447,570		38,169	² 1,653,345
1974	199,204	74,259	51,253	430,439	430,766	425,585		81,021	1,692,527
1975	154,489	51,439	36,202	436,446	456,031	448,530		42,523	² 1,625,660
1976	210,330	70,468	50,115	486,310	503,590	527,551		73,736	² 1,922,100
1977	176,430	62,311	53,116	348,741	393,533	439,003		46,535	² 1,519,669
1978	197,010	65,929	57,009	419,341	414,394	475,162		58,356	1,687,201
1979	211,104	69,103	59,359	457,134	419,504	539,594		76,247	1,832,045
1980	188,783	68,482	56,024	422,390	405,826	471,297		49,102	1,661,904
1981	188,649	58,090	57,515	432,632	397,522	473,922		50,111	² 1,658,441
1982	161,396	49,923	46,388	459,246	337,790	453,506		69,043	² 1,577,292
1983	174,542	53,344	54,926	485,048	337,023	466,810		108,549	1,680,242
1984	201,936	56,910	55,338	561,184	437,123	529,101		232,541	2,074,133
1985	194,905	59,211	57,271	598,903	414,460	544,621		284,416	2,153,787
1986	176,141	54,125	48,540	462,699	370,655	521,773		144,470	1,778,403
1987	180,169	50,145	61,392	538,998	416,002	554,385		168,032	1,969,123
1988	140,471	42,271	51,641	431,457	331,945	459,254		178,249	1,635,288
1989	156,443	50,812	51,688	481,712	389,042	471,037		153,722	1,754,456
1990	109,992	33,700	47,177	352,627	311,068	399,264	³ 66,702	³ 257,569	1,578,099
1991	107,908	34,613	42,620	378,582	304,207	396,046	214,759	363,685	1,842,420
1992	124,161	38,592	55,105	375,063	369,585	431,432	210,936	529,308	2,134,182
1993	106,191	33,991	49,561	392,138	318,268	426,501	⁴ 165,416	⁴ 212,309	⁴ 1,704,505
1994	101,090	32,610	55,113	360,184	298,934	393,751	180,667	202,300	1,624,649
1995	89,420	29,569	50,206	333,379	248,402	354,076	163,985	126,426	1,395,463
1996	82,454	26,035	52,327	299,011	246,415	338,574	154,344	146,579	1,345,739

¹This category includes other covered species not specifically stated in the regulations, such as bears, armadillos, squirrels, wild rodents, etc. It *does not* include noncovered species, such as rats and mice bred for laboratory use, frogs, lizards, birds, etc.

³Traditional farm animals used for research purposes have been reported only since 1990. Also, beginning in 1990, the category of "Wild Animal" was renamed to "Other Animal."

² These numbers reflect minor corrections from what was reported in the original annual reports of enforcement for the specified fiscal years.

⁴ These numbers have been corrected from what was reported in the annual report of enforcement for FY 1993. The reported numbers were: Farm Animals (365,233); Other Animals (677,556); and Total (2,369,439). The error was due to the inadvertent counting of noncovered species in these categories.

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